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JCS25 U.S. PTO

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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. WU-3110/5  
First Inventor GEORGE J. BROZE, JR.  
Title PROTEIN Z-DEPENDENT  
PROTEASE INHIBITOR  
Express Mail Label No. EL 585 895 345 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 45]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. Oath or Declaration [Total Pages 3]
  - a. ☐ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))
  - b. ☒ (for continuation/divisional with Box 18 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☒ Computer Readable Form (CRF) (with parent appln)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper
  - c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09, 696,364  
Prior application information Examiner M. Monshipouri, Ph.D. Group Art Unit. 1652

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name James C. Forbes  
G.D. Searle & Co., Corporate Law Dept.  
Address P.O. Box 5110  
City Chicago State IL Zip Code 60680-5110  
Country USA Telephone 314.694.3117 Fax 314.694.9095

Name (Print/Type) Scott J. Meyer Registration No. (Attorney/Agent) 25,275  
Signature [Signature] Date Jan. 10, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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01/10/02

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**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ ) 740**Complete if Known**

Application Number	
Filing Date	January 10, 2002
First Named Inventor	GEORGE J. BROZE, JR.
Examiner Name	M. Monshipouri, Ph.D.
Group Art Unit	1652
Attorney Docket No.	WU-3110/5

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit AccountDeposit  
Account  
Number  
Deposit  
Account  
Name

19-1025

G.D. Searle &amp; Co.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee

to the above identified deposit account

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)** (\$ ) 740**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims		Fee from below		Fee Paid	
Total Claims	6	-20** =	0	X	0	=	0
Independent Claims	1	-3** =	0	X	0	=	0
Multiple Dependent					0	=	0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ ) 0

\*\*or number previously paid, if greater, For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 0**SUBMITTED BY**

Name (Print/Type)	Scott J. Meyer	Registration No (Attorney/Agent)	25,275	Telephone	314.694.3117
Signature	<i>Scott J. Meyer</i>	Date	Jan. 10, 2002		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: )  
 )  
GEORGE J. BROZE, JR. ) EXAMINER: M. MONSHIPOURI, Ph.D.  
 )  
SERIAL NUMBER: )  
 )  
FILED: JAN. 10, 2002 ) GROUP ART UNIT: 1652  
 )  
TITLE: PROTEIN Z-DEPENDENT )  
 )  
PROTEASE INHIBITOR )  
 )  
(Div. of Ser.No.09/696,364 )  
Filed: Oct. 25, 2000 )

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STATEMENT UNDER 37 CFR 1.821(e) and (f)

Hon. Assistant Commissioner for Patents  
Washington, D. C. 20231

Dear Sir:

This will confirm that the present application being filed herewith is a divisional of the pending parent application of George J. Broze, Jr., entitled "Protein Z-Dependent Protease Inhibitor", Ser. No. 09/696,364, filed October 25, 2000, which is a division of grandparent application Ser. No. 09/271,608, filed March 17, 1999, by the same inventor with the same title.

37 CFR 1.821(e)

In accordance with 37 CFR 1.821(e), applicant herewith confirms that the computer readable form of the Sequence Listing in the present application is to be identical with the computer readable form of said grandparent application and said parent divisional application.

In accordance with 37 CFR 1.821(e), applicant herewith requests the use in the present divisional application of the compliant computer readable Sequence Listing filed in said grandparent application and also used in said parent divisional application.

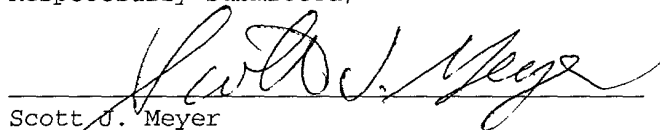
In accordance with 37 CFR 1.821(e), applicant submits that the paper copy of the Sequence Listing in the present application is identical to the computer readable copy filed for said grandparent application and used in said parent divisional application.

In accordance with 37 CFR 1.821(e), this statement is submitted in lieu of filing a duplicate computer readable form in the present divisional application.

37 CFR 1.821(f)

This will confirm that, in accordance with 37 CFR 1.821(f), "The information recorded in computer readable form is identical to the written Sequence Listing."

Respectfully submitted,



Scott J. Meyer  
Registration No. 25,275  
Attorney for Applicant  
Telephone: (314) 694-3117

SJM/mr

January 8, 2002

200710 "254E400T

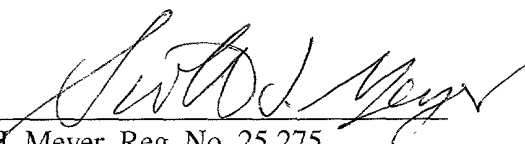
"Express Mail" Mailing Number: EL 585 895 345 US

Date of Deposit: January 10, 2002

Attorney Docket No. WU-3110/5

**CERTIFICATE OF MAILING PURSUANT TO 37 CFR 1.10**

I hereby certify that the attached correspondence [*Attorney Docket No. 3110/5*] is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231. Please grant us a filing date of January 10, 2002.

By:   
Scott A. Meyer, Reg. No. 25,275  
Registered Patent Attorney

Date: January 10, 2002